



8/23/04

36287/\$

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED

AUG 30 2004

GROUP 3600

Application No.: 09/500,624
Filing Date: February 9, 2000
Applicant: Dean Amburn
Group Art Unit: 3628
Examiner: Harish T. Dass
Title: Method And Apparatus For Automated Trading of
Equity Securities Using A Real Time Data Analysis
Attorney Docket: 2425-000001

Director of The United States Patent and Trademark Office
P.O. Box 1450
Alexandria, Virginia 22313-1450

AMENDMENT AND PETITION FOR EXTENSION OF TIME

Sir:

In response to the Office Action mailed March 26, 2004, please amend the application as follows and consider the remarks set forth below.


Applicant hereby petitions under the provisions of 37 C.F.R. § 1.136(a) for a two-month extension of time in which to respond to the outstanding Office Action and includes a fee as set forth in 37 C.F.R. § 1.17(a) with this response for such extension of time.

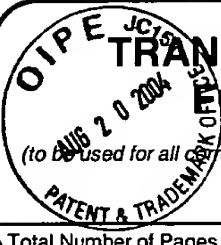
Amendments to the Claims begin on page 2 of this paper.

Remarks begin on page 14 of this paper.

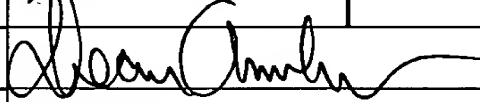
08/25/2004 CNGUYEN 00000040 080750 09500624

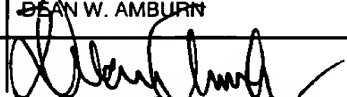
01 FC:2252 5.00 DA 205.00 DP

Please type a plus sign (+) inside this box → 

 TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	09/500,624	RECEIVED AUG 30 2004 GROUP 3600
	Filing Date	February 9, 2000	
	First Named Inventor	Dean Amburn	
	Group Art Unit	3628	
	Examiner Name	Harish T. Dass	
Total Number of Pages in This Submission		Attorney Docket Number	2425-000001

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input checked="" type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return postcard.
Remarks	The Commissioner is hereby authorized to charge any additional fees that may be required under 37 CFR 1.16 or 1.17 to Deposit Account No. 08-0750. A duplicate copy of this sheet is enclosed.	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm or Individual name	Harness, Dickey & Pierce, P.L.C.	Attorney Name	DEAN W. AMBURN
Signature			
Date	August 20, 2004		

CERTIFICATE OF MAILING/TRANSMISSION			
I hereby certify that this correspondence is being deposited with the United States Postal Service as express mail in an envelope addressed to: Director of the U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450, or facsimile transmitted to the U.S. Patent and Trademark Office on the date indicated below.			
Typed or printed name	DEAN W. AMBURN	Express Mail Label No.	EV 533 145 545 US (8/20/2004)
Signature		Date	August 20, 2004

EV 533 145 545 US

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO
OFFICE
AUG 20 2004
FEE TRANSMITTAL
for FY 2003
Patent fees are subject to annual revision.
Application claims small entity status. See 37 CFR 1.27
TOTAL AMOUNT OF PAYMENT (\$) 205

Complete If Known

Application Number	09/500,624
Filing Date	February 9, 2000
First Named Inventor	Dean Amburn
Examiner Name	Harish T. Dass
Group / Art Unit	3628
Attorney Docket No.	2425-000001

RECEIVED
AUG 30 2004
GROUP 3600

METHOD OF PAYMENT (check all that apply)		FEE CALCULATION (continued)																																																																																																																					
<input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money <input type="checkbox"/> Other <input type="checkbox"/> None <input type="checkbox"/> Deposit Account: Deposit Account Number: 08-0750 Deposit Account Name: Harness, Dickey & Pierce, P.L.C. The Commissioner is authorized to: (check all that apply) <input type="checkbox"/> Charge fee(s) indicated below <input checked="" type="checkbox"/> Credit any overpayments <input checked="" type="checkbox"/> Charge any additional fee(s) during the pendency of this application <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.		3. ADDITIONAL FEES																																																																																																																					
FEE CALCULATION																																																																																																																							
1. BASIC FILING FEE																																																																																																																							
<table><thead><tr><th colspan="2">Large Entity</th><th colspan="2">Small Entity</th><th rowspan="2">Fee Description</th><th rowspan="2">Fee Paid</th></tr><tr><th>Fee Code</th><th>Fee (\$)</th><th>Fee Code</th><th>Fee (\$)</th></tr></thead><tbody><tr><td>1001</td><td>750</td><td>2001</td><td>375</td><td>Utility filing fee</td><td></td></tr><tr><td>1002</td><td>330</td><td>2002</td><td>165</td><td>Design filing fee</td><td></td></tr><tr><td>1003</td><td>520</td><td>2003</td><td>260</td><td>Plant filing fee</td><td></td></tr><tr><td>1004</td><td>750</td><td>2004</td><td>375</td><td>Reissue filing fee</td><td></td></tr><tr><td>1005</td><td>160</td><td>2005</td><td>80</td><td>Provisional filing fee</td><td></td></tr></tbody></table>		Large Entity		Small Entity		Fee Description	Fee Paid	Fee Code	Fee (\$)	Fee Code	Fee (\$)	1001	750	2001	375	Utility filing fee		1002	330	2002	165	Design filing fee		1003	520	2003	260	Plant filing fee		1004	750	2004	375	Reissue filing fee		1005	160	2005	80	Provisional filing fee																																																																															
Large Entity		Small Entity		Fee Description	Fee Paid																																																																																																																		
Fee Code	Fee (\$)	Fee Code	Fee (\$)																																																																																																																				
1001	750	2001	375	Utility filing fee																																																																																																																			
1002	330	2002	165	Design filing fee																																																																																																																			
1003	520	2003	260	Plant filing fee																																																																																																																			
1004	750	2004	375	Reissue filing fee																																																																																																																			
1005	160	2005	80	Provisional filing fee																																																																																																																			
SUBTOTAL (1) (\$0)																																																																																																																							
2. EXTRA CLAIM FEES																																																																																																																							
Total Claims: 0 X Fee from below: 0 = Fee Paid: 0																																																																																																																							
Independent Claims: 0 X Fee from below: 0 = Fee Paid: 0																																																																																																																							
Multiple Dependent: 0 X Fee from below: 0 = Fee Paid: 0																																																																																																																							
<table><thead><tr><th colspan="2">Large Entity</th><th colspan="2">Small Entity</th><th rowspan="2">Fee Description</th><th rowspan="2">Fee Paid</th></tr><tr><th>Fee Code</th><th>Fee (\$)</th><th>Fee Code</th><th>Fee (\$)</th></tr></thead><tbody><tr><td>1202</td><td>18</td><td>2202</td><td>9</td><td>Claims in excess of 20</td><td></td></tr><tr><td>1201</td><td>84</td><td>2201</td><td>42</td><td>Independent claims in excess of 3</td><td></td></tr><tr><td>1203</td><td>280</td><td>2203</td><td>140</td><td>Multiple dependent claim, if not paid</td><td></td></tr><tr><td>1204</td><td>84</td><td>2204</td><td>42</td><td>** Reissue independent claims over original patent</td><td></td></tr><tr><td>1205</td><td>18</td><td>2205</td><td>9</td><td>** Reissue claims in excess of 20 and over original patent</td><td></td></tr></tbody></table>		Large Entity		Small Entity		Fee Description	Fee Paid	Fee Code	Fee (\$)	Fee Code	Fee (\$)	1202	18	2202	9	Claims in excess of 20		1201	84	2201	42	Independent claims in excess of 3		1203	280	2203	140	Multiple dependent claim, if not paid		1204	84	2204	42	** Reissue independent claims over original patent		1205	18	2205	9	** Reissue claims in excess of 20 and over original patent																																																																															
Large Entity		Small Entity		Fee Description	Fee Paid																																																																																																																		
Fee Code	Fee (\$)	Fee Code	Fee (\$)																																																																																																																				
1202	18	2202	9	Claims in excess of 20																																																																																																																			
1201	84	2201	42	Independent claims in excess of 3																																																																																																																			
1203	280	2203	140	Multiple dependent claim, if not paid																																																																																																																			
1204	84	2204	42	** Reissue independent claims over original patent																																																																																																																			
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent																																																																																																																			
SUBTOTAL (2) (\$0)																																																																																																																							
**or number previously paid, if greater; For Reissues, see above																																																																																																																							
		<table><thead><tr><th>Large Entity</th><th>Small Entity</th><th>Fee Description</th><th>Fee Paid</th></tr></thead><tbody><tr><td>1051</td><td>130</td><td>2051 65</td><td></td></tr><tr><td>1052</td><td>50</td><td>2052 25</td><td></td></tr><tr><td>1053</td><td>130</td><td>1053 130</td><td></td></tr><tr><td>1812</td><td>2,520</td><td>1812 2,520</td><td></td></tr><tr><td>1804</td><td>920*</td><td>1804 920*</td><td></td></tr><tr><td>1805</td><td>1,840*</td><td>1805 1,840*</td><td></td></tr><tr><td>1251</td><td>110</td><td>2251 55</td><td></td></tr><tr><td>1252</td><td>410</td><td>2252 205</td><td>205</td></tr><tr><td>1253</td><td>930</td><td>2253 465</td><td></td></tr><tr><td>1254</td><td>1,450</td><td>2254 725</td><td></td></tr><tr><td>1255</td><td>1,970</td><td>2255 985</td><td></td></tr><tr><td>1401</td><td>320</td><td>2401 160</td><td></td></tr><tr><td>1402</td><td>320</td><td>2402 160</td><td></td></tr><tr><td>1403</td><td>280</td><td>2403 140</td><td></td></tr><tr><td>1451</td><td>1,510</td><td>1451 1,510</td><td></td></tr><tr><td>1452</td><td>110</td><td>2452 55</td><td></td></tr><tr><td>1453</td><td>1,300</td><td>2453 650</td><td></td></tr><tr><td>1501</td><td>1,300</td><td>2501 650</td><td></td></tr><tr><td>1502</td><td>470</td><td>2502 235</td><td></td></tr><tr><td>1503</td><td>630</td><td>2503 315</td><td></td></tr><tr><td>1460</td><td>130</td><td>1460 130</td><td></td></tr><tr><td>1807</td><td>50</td><td>1807 50</td><td></td></tr><tr><td>1806</td><td>180</td><td>1806 180</td><td></td></tr><tr><td>8021</td><td>40</td><td>8021 40</td><td></td></tr><tr><td>1809</td><td>750</td><td>2809 375</td><td></td></tr><tr><td>1810</td><td>750</td><td>2810 375</td><td></td></tr><tr><td>1801</td><td>750</td><td>2801 375</td><td></td></tr><tr><td>1802</td><td>900</td><td>1802 900</td><td></td></tr></tbody></table>		Large Entity	Small Entity	Fee Description	Fee Paid	1051	130	2051 65		1052	50	2052 25		1053	130	1053 130		1812	2,520	1812 2,520		1804	920*	1804 920*		1805	1,840*	1805 1,840*		1251	110	2251 55		1252	410	2252 205	205	1253	930	2253 465		1254	1,450	2254 725		1255	1,970	2255 985		1401	320	2401 160		1402	320	2402 160		1403	280	2403 140		1451	1,510	1451 1,510		1452	110	2452 55		1453	1,300	2453 650		1501	1,300	2501 650		1502	470	2502 235		1503	630	2503 315		1460	130	1460 130		1807	50	1807 50		1806	180	1806 180		8021	40	8021 40		1809	750	2809 375		1810	750	2810 375		1801	750	2801 375		1802	900	1802 900	
Large Entity	Small Entity	Fee Description	Fee Paid																																																																																																																				
1051	130	2051 65																																																																																																																					
1052	50	2052 25																																																																																																																					
1053	130	1053 130																																																																																																																					
1812	2,520	1812 2,520																																																																																																																					
1804	920*	1804 920*																																																																																																																					
1805	1,840*	1805 1,840*																																																																																																																					
1251	110	2251 55																																																																																																																					
1252	410	2252 205	205																																																																																																																				
1253	930	2253 465																																																																																																																					
1254	1,450	2254 725																																																																																																																					
1255	1,970	2255 985																																																																																																																					
1401	320	2401 160																																																																																																																					
1402	320	2402 160																																																																																																																					
1403	280	2403 140																																																																																																																					
1451	1,510	1451 1,510																																																																																																																					
1452	110	2452 55																																																																																																																					
1453	1,300	2453 650																																																																																																																					
1501	1,300	2501 650																																																																																																																					
1502	470	2502 235																																																																																																																					
1503	630	2503 315																																																																																																																					
1460	130	1460 130																																																																																																																					
1807	50	1807 50																																																																																																																					
1806	180	1806 180																																																																																																																					
8021	40	8021 40																																																																																																																					
1809	750	2809 375																																																																																																																					
1810	750	2810 375																																																																																																																					
1801	750	2801 375																																																																																																																					
1802	900	1802 900																																																																																																																					
		Other fee (specify) _____																																																																																																																					
		*Reduced by Basic Filing Fee Paid																																																																																																																					
		SUBTOTAL (3) (\$205)																																																																																																																					

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Dean W. Amburn	Registration No. Attorney/Agent	46,517
Signature		Telephone	248-641-1600
		Date	August 20, 2004

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.
If you need assistance in completing this form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.